

03-29-01

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03/27/01
J1042 U.S. PTO

PATENT

Docket No. IL-10625

Commissioner for Patents
Washington, DC 20231

Jc973 U.S. PTO
09/819111
03/27/01

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):
Kirk P. Seward and Peter A. Krulevitch

For (title): **SHAPE MEMORY ALLOY/SHAPE MEMORY POLYMER TOOLS**

1. Type of Application

- ☒ This new application is for an original patent.
- ☐ This new application is a:
 - ☐ Division
 - ☐ Continuation
 - ☐ Continuation-in-part (CIP)

2. Benefit of Prior U.S. Application(s) (35 USC 120)

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s)

3. ☐ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:

Application Serial No.	Filing Date
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4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

<u>22</u>	Pages of specification
<u>4</u>	Pages of claims
<u>1</u>	Pages of abstract
<u>8</u>	Sheets of drawings
<input checked="" type="checkbox"/>	Formal
<input type="checkbox"/>	Informal

5. Additional papers enclosed

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449

6. Declaration or oath

- ☒ Enclosed and executed by
- ☒ Inventor(s)
- ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.

- ☒ is attached
- ☐ will follow

8. Certified Copy

Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	35	-20 =	15	x \$18 =	\$ 270.00
Independent Claims	3	-3 =	0	x \$80 =	\$ 00.00
				Multiple Claims =	\$ 270.00
				Basic Filing Fee =	\$ 710.00
				Sub-Total =	\$ 980.00
				Small Entity Filing Fee =	\$ 490.00

Docket No. IL-10625

10. **Small Entity Statement(s)**

- ☒ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27

Filing Fee Calculation (50% of regular filing fee) \$ 490.00

11. **Fee Payment**

- ☐ Not Enclosed
☒ Enclosed (See Account No. Below)

Total Basic Filing Fees To Be Paid \$ 490.00

12. **Method of Payment of Fees**

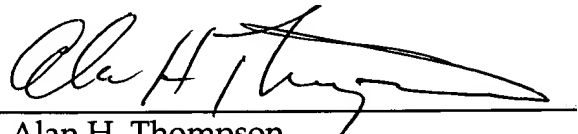
- ☐ Check in the Amount of \$ _____
☒ Charge Account No. 12-0695 in the amount of \$ 490.00

A duplicate of this transmittal is attached.

13. **Instructions As To Overpayment/Underpayment**

- ☒ credit/charge
Account No. 12-0695
☐ Refund

Dated: 3/27/2001



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Kirk P. Seward et al.

Attorney Docket No.: IL-10625

Serial No. :

Art Unit:

Filed :

Examiner:

For : Shape Memory Alloy/Shape Memory Polymer Tools

Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number EL533024706US

Date of Deposit

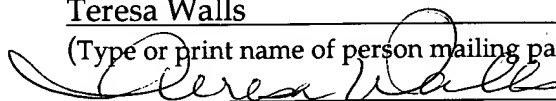
3/27/2001I hereby certify that the following *attached*

1. Recordation Cover Sheet (1 page)
2. Assignment (1 page)
3. New Application Transmittal (in duplicate)
4. Application
(Specification 22 pages, Claims 4 pages, Abstract 1 page)
Combined Declaration and Power of Attorney (2 pages)
Eight (8) sheet of formal drawings
5. Information disclosure Statement, Form PTO-1449, 2 US Patents, 6
Foreign references and 4 Other Disclosures
6. Certificate of Mailing
7. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Box: Patent Application, Washington, D.C. 20231.

Teresa Walls

(Type or print name of person mailing paper)



(Signature of person mailing paper or fee)



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Kirk P. Seward et al

Docket No. : IL-10625

Serial No. : 09/819,111

Art Unit : 1773

Filed : 3/27/2001

Examiner :

For : Shape Memory Alloy/Shape Memory Polymer Tools

Commissioner for Patents

Washington, D.C. 20231

CERTIFICATE OF MAILINGI hereby certify that the *attached* correspondence comprising:

1. Copy of Notice to File Corrected Application Papers
2. New Drawings (12 sheets)
3. Return Postcard

is being deposited with the United States Postal Service as first class mail in
an envelope addressed to:

Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

on 7/19/2001Teresa Walls

(Type or print name of person mailing paper)

(Signature of person mailing paper)

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